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PATENT & TRADEMARK OFFICE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:	Confirmation No.: 3284
John S. HENDRICKS et al.	Group Art Unit: 2135
Application No.: 09/400,296	Examiner: Beemnet W. DADA
Filed: September 21, 1999	Attorney Docket No.: 026880-00018

For: ELECTRONIC BOOK SECURITY AND COPYRIGHT PROTECTION SYSTEM

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Date: January 26, 2007

Sir:

Pursuant to 37 CFR §1.56, the attention of the U.S. Patent and Trademark Office is hereby directed to the information items listed on the attached PTO/SB/08. Unless otherwise indicated herein, one copy of each item is attached. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the items be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

☐ 1. This Information Disclosure Statement is being filed (a) within three months of the U.S. filing date, OR (b) before the mailing date of a first Office Action on the merits in the present application, OR (c) accompanies a Request for Continued Examination. No certification or fee is required.

☒ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance.

☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(1).

☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(2).

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01 FC:1806 180.00 OP

☒ c. Check number 460102 in the amount of $180.00 is attached for payment of the fee under 37 CFR §1.17(p). Please charge any fee deficiency or credit any overpayment to Deposit Account Number 01-2300, referencing Attorney Docket Number 026880-00018, as needed to ensure consideration of the disclosed information.

☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Applicants hereby petition that the Information Disclosure Statement be considered. Attached is our check number in the amount of $180.00 in payment of the petition fee under 37 CFR §1.17(i)(1). Please charge any fee deficiency or credit any overpayment to Deposit Account Number 01-2300, referencing Attorney Docket Number , as needed to ensure consideration of the disclosed information.

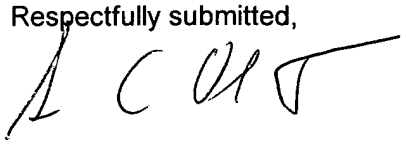
☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(1).

☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(2).

☒ 4. The references are cited in corresponding foreign applications, and related U.S. and foreign applications.

☒ 5. Copies of the foreign patent documents and the publications are on the attached CD.

Respectfully submitted,



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SCO:vmh

Enclosures: Check Number 460102
PTO/SB/08a – U.S. Patent Documents (13 pages)
PTO/SB/08a – Foreign Patent Documents (5 pages)
CD

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT
Form PTO/SB/08a

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	Complete if Known
Application Number	09/400,286
Filing Date	September 21, 1999
First Named Inventor	John S. HENDRICKS et al.
Art Unit	2135
Examiner Name	Beemnet W. DADA
Sheet 1 of 13	Attorney Docket Number 026880-00018

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Document Number	Number-Kind Code[2] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		3,869,873		n/a	Ringstad	
		3,891,792		n/a	Kimura	
		3,978,470		n/a	McGuire	
		4,071,697		01-1978	Bushnell et al.	
		4,197,590		4/8/1980	Sukonick, et al.	
		4,251,671		n/a	Reed et al.	
		4,298,793		11/1981	Melis et al.	
		4,361,848		11/30/1982	Poigner et al.	
		4,381,522		4/26/1983	Lambert	
		4,398,216		n/a	Field et al.	
		4,405,829		09-1983	Rivest et al.	
		4,429,385		01-1984	Cichelli et al.	
		4,455,570		6/19/1984	Saeki et al.	
		4,484,217		11/20/1984	Block, et al.	
		4,488,179		12/11/1984	Kruger, et al.	
		4,517,598		5/14/1985	Van Valkenburg et al.	
		4,528,589		n/a	Block et al.	
		4,528,643		07-1985	Freeny, Jr., Charles C.	
		4,532,540		07-1985	Wine, Charles M.	
		4,533,948		8/6/1985	McNamara et al.	
		4,546,382		10/8/1985	McKenna, et al.	
		4,567,512		1/1996	Abraham	
		4,578,531		03-1986	Everhart et al.	
		4,587,520		5/6/1986	Astle	
		4,602,279		7/22/1986	Freeman et al.	
		4,605,964		8/12/1986	Chard	
		4,616,263		10-1986	Eichelberger, George P.	
		4,621,282		n/a	Ahern	
		4,625,076		11-1986	Okamoto et al.	
		4,625,235		11-1986	Watson, John N.	
		4,633,462		n/a	Stifle et al.	
		4,639,225		1/27/1987	Washizuka	
		4,644,470		Feb-87	Feigenbaum et al.	
		4,653,100		03/1987	Barnett, et al.	
		4,668,218		5/26/1987	Virtanen	
		4,668,246		n/a	Eilers et al.	
		4,673,976			Wreford-Howard	

Examiner Signature		Date Considered	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. [1]Unique citation designation number. [2]See attached Kinds of U.S. Patent Documents. [3]Enter Office that issued the document, by the two-letter code. [4]For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [5]Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. [6]Applicant is to place a check mark here if English language translation is attached. AB indicates that only an English language abstract is attached.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT
Form PTO/SB/08a

Complete if Known	
Application Number	09/400,286
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First Named Inventor	John S. HENDRICKS et al.
Art Unit	2135
Examiner Name	Beemnet W. DADA
Attorney Docket Number	026880-00018

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		4,688,218		8/18/1987	Blineau et al.	
		4,688,245		8/18/1987	Eilers, et al.	
		4,691,109		10/2/1990	Tanaka	
		4,694,483		9/1987	Cheung	
		4,694,490		9/15/1987	Harvey et al.	
		4,697,209		9/29/1987	Kiewit et al.	
		4,706,121		n/a	Young	
		4,712,105		12/8/1987	Kohler	
		4,712,130		12/8/1987	Casey	
		4,724,491		2/9/1988	Lambert	
		4,739,510		n/a	Jeffers et al.	
		4,751,578		6/14/1988	Reiter et al.	
		4,768,087		8/1988	Taub et al.	
		4,792,972		12/20/1988	Cook, Jr.	
		4,805,014		n/a	Sahara, et al.	
		4,816,901		3/28/1989	Music, et al.	
		4,816,904		3/28/1989	McKenna et al.	
		4,820,167		4/1989	Nobles et al.	
		4,829,372		n/a	McCalley et al.	
		4,829,558		5/9/1989	Welsh	
		4,829,569		5/9/1989	Seth-Smith et al.	
		4,835,607		5/30/89	Keith	
		4,855,725		08/08/1989	Fernandez	
		4,860,379		8/22/1989	Schoenberger et al.	
		4,876,736		10/24/1989	Kiewit	
		4,885,803		n/a	Hermann et al.	
		4,891,838		01-1990	Faber, Lawrence M.	
		4,920,432		4/24/1990	Eggers, et al.	
		4,924,513		05-1990	Herbison et al.	
		4,928,168		5/22/1990	Iwashita	
		4,928,177		05-1990	Martinez, Louis	
		4,930,160		5/29/1990	Vogel	
		4,947,429		8/7/1990	Bestler, et al.	
		4,949,187		8/14/1990	Cohen	
		4,959,810		9/25/1990	Darbee, et al.	
		4,961,109		10/2/1990	Tanaka	
		4,965,819		10-1990	Kannes, Deno	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Application Number	09/400,286
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First Named Inventor	John S. HENDRICKS et al.
Art Unit	2135
Examiner Name	Beemnet W. DADA
Attorney Docket Number	026880-00018

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U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Document Number	Number-Kind Code[2] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		4,965,825		10/23/1990	Harvey, et al.	
		4,975,951		12/4/1990	Bennett	
		4,977,455		12/11/1990	Young	
		4,982,344		1/1991	Jordan	
		4,985,697		01/15/1991	Boulton	
		4,995,078		2/19/1991	Monslow et al.	
		4,996,597		2/26/1991	Duffield	
		4,997,455		n/a	Young	
		5,001,554		3/19/1991	Johnson et al.	
		5,003,384		3/26/1991	Durden, et al.	
		5,003,591			Kauffman et al.	
		5,010,499		04-1991	Yee, Keen Y.	
		5,014,125		5/7/1991	Pocach et al.	
		5,015,829		5/14/1991	Eilert, et al.	
		5,020,129		5/28/1991	Martin et al.	
		5,027,400		6/25/1991	Baji et al.	
		5,036,394		7/30/1991	Morii	
		5,036,537		7/30/1991	Jeffers, et al.	
		5,038,402		n/a	Robbins	
		5,046,093		9/3/1991	Wachob	
		5,047,867		9/10/1991	Strubbe, et al.	
		5,049,990		9/17/1991	Kondo, et al.	
		5,056,138		n/a	Tyson, Sr.	
		5,057,917		10/15/1991	Shalkauser et al.	
		5,073,930		n/a	Green et al.	
		5,075,771		n/a	Hashimoto	
		5,077,607		12/31/1991	Johnson, et al.	
		5,078,019		1/7/1992	Aoki	
		5,089,956		2/1/1992	MacPhail	
		5,091,782		2/25/1992	Krause, et al.	
		5,093,718		3/3/1992	Hoarty et al.	
		5,099,319		n/a	Esch et al.	
		5,103,314		n/a	Keenan	
		5,104,125		5/7/1991	Pocock et al.	
		5,105,268		4/14/1992	Yamanouchi, et al.	
		5,115,426		n/a	Spanke	
		5,121,476		6/9/1992	Yee	

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Examiner Name	Beemnet W. DADA
Attorney Docket Number	026880-00018

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		5,124,980		6/23/1992	Maki	
		5,130,792		7/14/1992	Tindell, et al.	
		5,130,924		7/1992	Barker, et al.	
		5,132,789		7/21/1992	Ammon et al.	
		5,132,992		7/21/1997	Yurt et al.	
		5,133,079		7/21/1992	Ballantyne, et al.	
		5,140,419		08-1992	Galumbeck et al.	
		5,144,663		9/1992	Kudelski et al.	
		5,144,665		09-1992	Takaragi et al.	
		5,146,552		9/1992	Cassorla et al.	
		5,150,118		9/22/1992	Finkle	
		5,151,782		9/29/1992	Ferraro	
		5,151,789		9/29/1992	Young	
		5,152,011		9/29/1992	Schwob	
		5,155,591		10/1992	Wachob	
		5,159,452		10/1992	Kinoshita et al.	
		5,166,886		11/24/1992	Molnar, et al.	
		5,172,413		12/15/1992	Bradley et al.	
		5,182,639		1/26/1993	Jutamulia et al.	
		5,185,667		n/a	Zimmerman et al.	
		5,199,104		3/1993	Hirayama	
		5,202,129			MARTIN et al.	
		5,202,817		4/13/1993	Koenck, et al.	
		5,204,947		4/1993	Bernstein, et al.	
		5,206,722		4/27/1993	Kwan	
		5,206,929		4/27/1993	Langford, et al.	
		5,206,954		4/27/1993	Inoue et al.	
		5,208,745		05-1993	Quentin et al.	
		5,210,611		5/1993	Yee et al.	
		5,212,553		5/18/1993	Maruoka	
		5,216,515		6/1/1993	Steele et al.	
		5,221,962		n/a	Backus et al.	
		5,222,136		06-1993	Rasmussen et al.	
		5,223,924		6/29/1993	Strubbe	
		5,233,333		08-1993	Borsuk, Sherwin M.	
		5,235,419		8/10/1993	Krause et al.	
		5,235,619		8/1993	Beyers et al.	

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		5,235,680		8/1993	Bijnagte	
		5,237,311		8/17/1993	Mailey, et al.	
		5,237,610		8/17/1993	Gammie et al.	
		5,239,665		8/1993	Tsuchiya	
		5,241,671		8/1993	Reed, et al.	
		5,242,770		n/a	Schmelzer et al.	
		5,247,347		9/1993	Litteral et al.	
		5,247,575		09-1993	Sprague et al.	
		5,251,324		10/1993	McMullan	
		5,253,066		10/12/1993	Vogel	
		5,253,275		10/12/1993	Yurt et al.	
		5,253,341		n/a	Rozmanith et al.	
		5,260,778		11/9/1993	Kauffman et al.	
		5,282,028		n/a	Johnson et al.	
		5,282,206		10/1/1997	Wehmeyer et al.	
		5,283,639		2/1/1994	Esch et al.	
		5,285,272		2/8/1994	Bradley et al.	
		5,289,271		2/22/1994	Watson	
		5,289,288		2/22/1994	Silverman, et al.	
		5,291,554			Morales	
		5,293,540		3/8/1994	Trani et al.	
		5,293,633		n/a	Robbins	
		5,318,450		6/1994	Carver	
		5,319,454		6/1994	Schutte	
		5,319,455		6/7/1994	Hoarty et al.	
		5,319,542		6/1/1994	King, et al.	
		5,319,649		6/1994	Raghaven et al.	
		5,319,707		6/7/1994	Wasilewski, et al.	
		5,321,846		6/1994	Yokota et al.	
		5,323,240		6/21/1994	Amano et al.	
		5,327,554		7/5/1994	Palazzi, III et al.	
		5,329,590		7/12/1994	Pond	
		5,339,091		08-1994	Yamazaki et al.	
		5,339,239		8/16/1994	Manabe et al.	
		5,339,315		8/16/1994	Maeda, et al.	
		5,341,166		8/23/1994	Garr, et al.	
		5,341,426		08/23/1994	Barney et al.	

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		5,341,474		8/23/1994	Gelman, et al.	
		5,343,239		8/30/1994	Lappington	
		5,343,516		n/a	Callele, et al.	
		5,345,580		9/1994	Tamaru et al.	
		5,345,594		9/6/1994	Tsuda	
		5,349,638		n/a	Pitroda et al.	
		5,351,075		9/27/1994	Herz, et al.	
		5,353,121		10/4/1994	Young, et al.	
		5,355,162		10/11/1994	Yazolino et al.	
		5,357,276		10/18/1994	Banker, et al.	
		5,365,265		n/a	Shibata et al.	
		5,365,434		11/1994	Figliuzzi	
		5,367,330		11/22/1994	Haave et al.	
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		5,367,643		11/1994	Chang et al.	
		5,371,532		12-1994	Gelman et al.	
		5,373,324			Kuroda et al.	
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Application Number	09/400,286
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First Named Inventor	John S. HENDRICKS et al.
Art Unit	2135
Examiner Name	Beemnet W. DADA
Attorney Docket Number	026880-00018

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Examiner Initials*	Cite No.[1]	Document Number	Number-Kind Code[2] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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		5,426,594		6/1/1995	Wright et al.	
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		5,446,488		8/1995	Vogel	
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		5,893,132		4/1999	Huffman et al.	
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT
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Complete if Known	
Application Number	09/400,286
Filing Date	September 21, 1999
First Named Inventor	John S. HENDRICKS et al.
Art Unit	2135
Examiner Name	Beemnet W. DADA
Attorney Docket Number	026880-00018

Sheet 1 of 5

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Examiner Initials*	Cite No.[1]	Country Code/Foreign Patent Document		Number[4] Kind Code[5] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T[6]
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Attorney Docket Number	026880-00018

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Examiner Name	Beemnet W. DADA
Attorney Docket Number	026880-00018

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Examiner Name	Beemnet W. DADA
Attorney Docket Number	026880-00018

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		Taiwan Pat.Pub.No.	236744		n/a	Franklin		
		Taiwan Pat.Pub.No.	238461		n/a	Manullan Jr.		

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